

Fig\_1

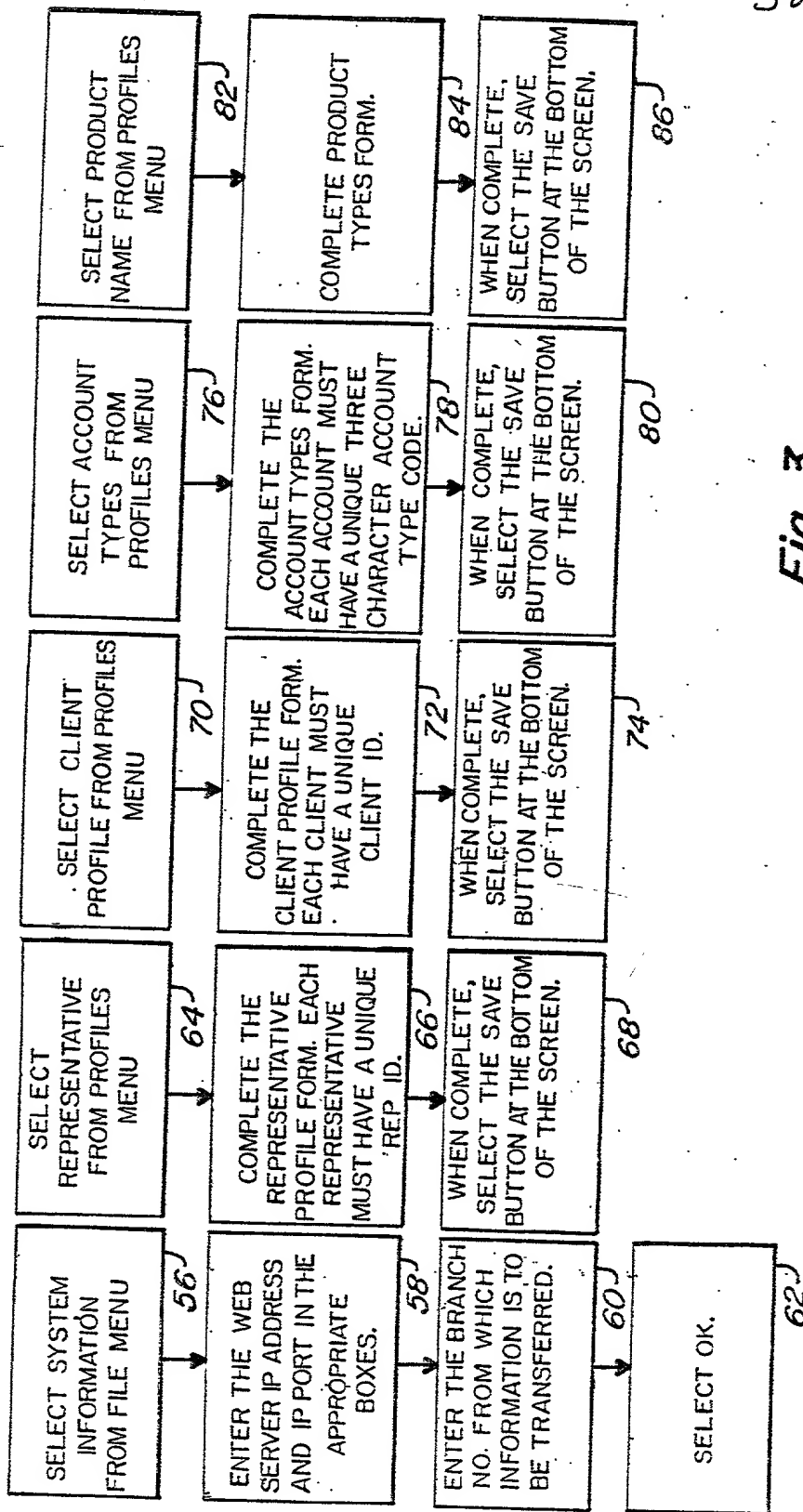
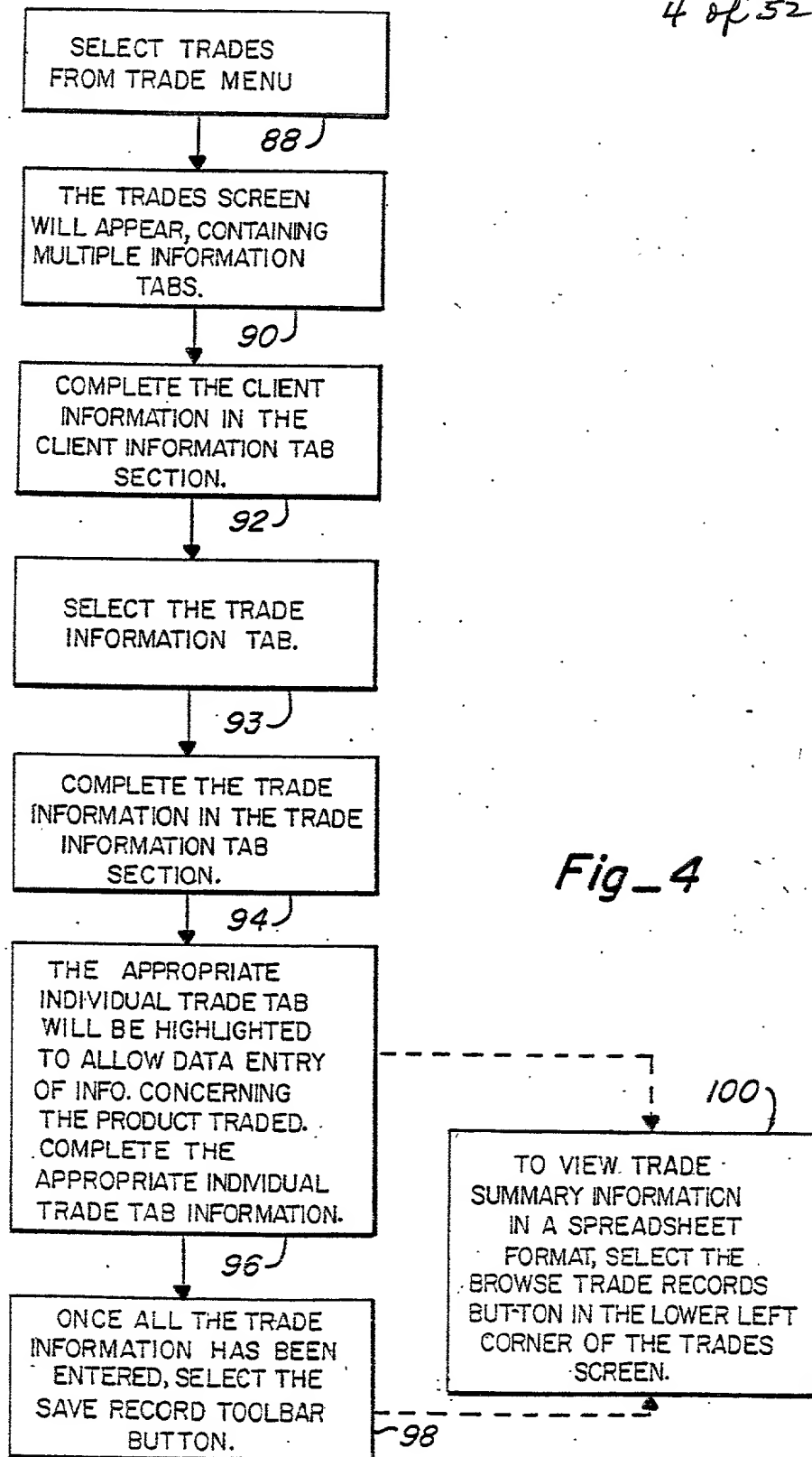


Fig-3

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Fig\_4

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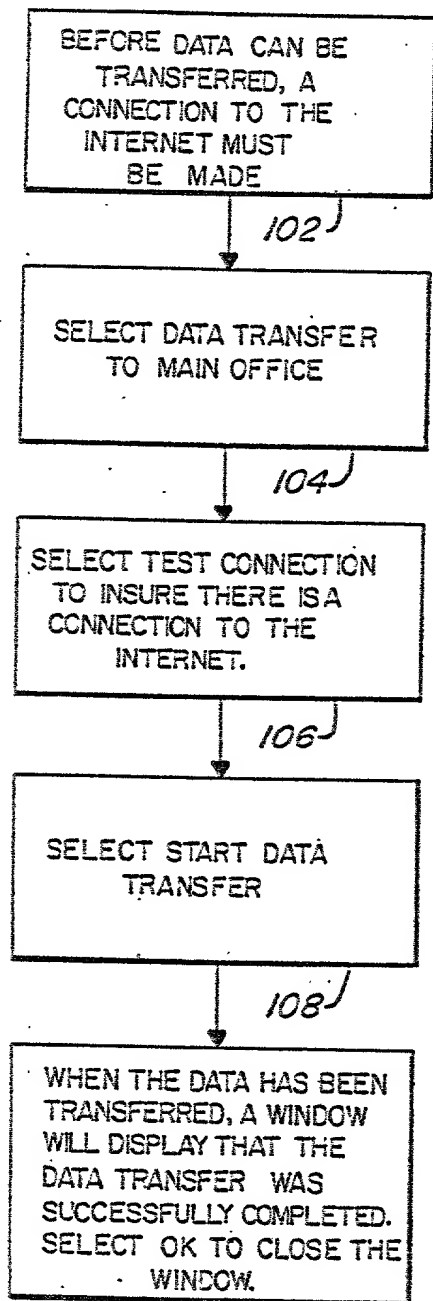


Fig-5

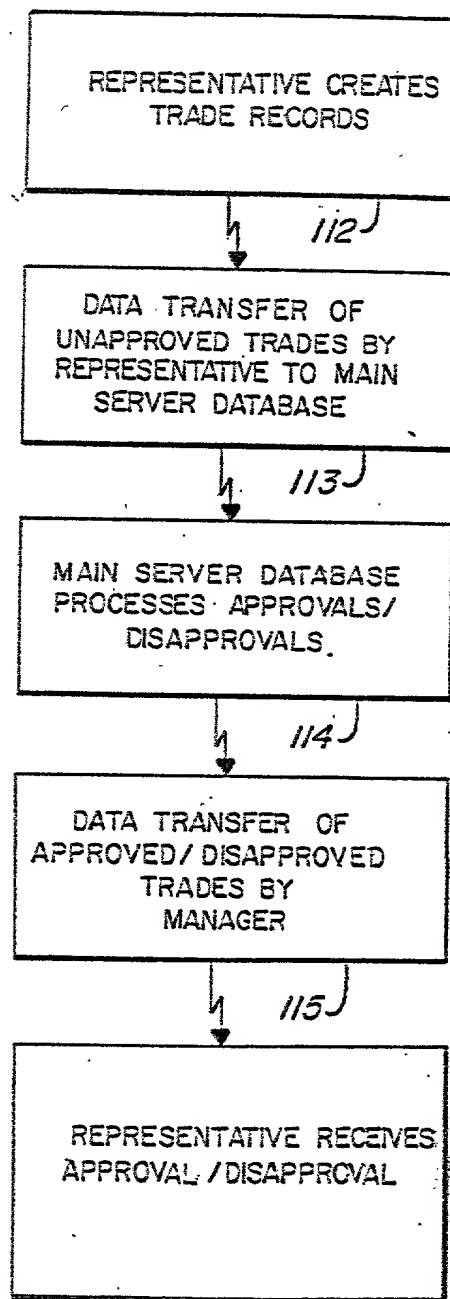
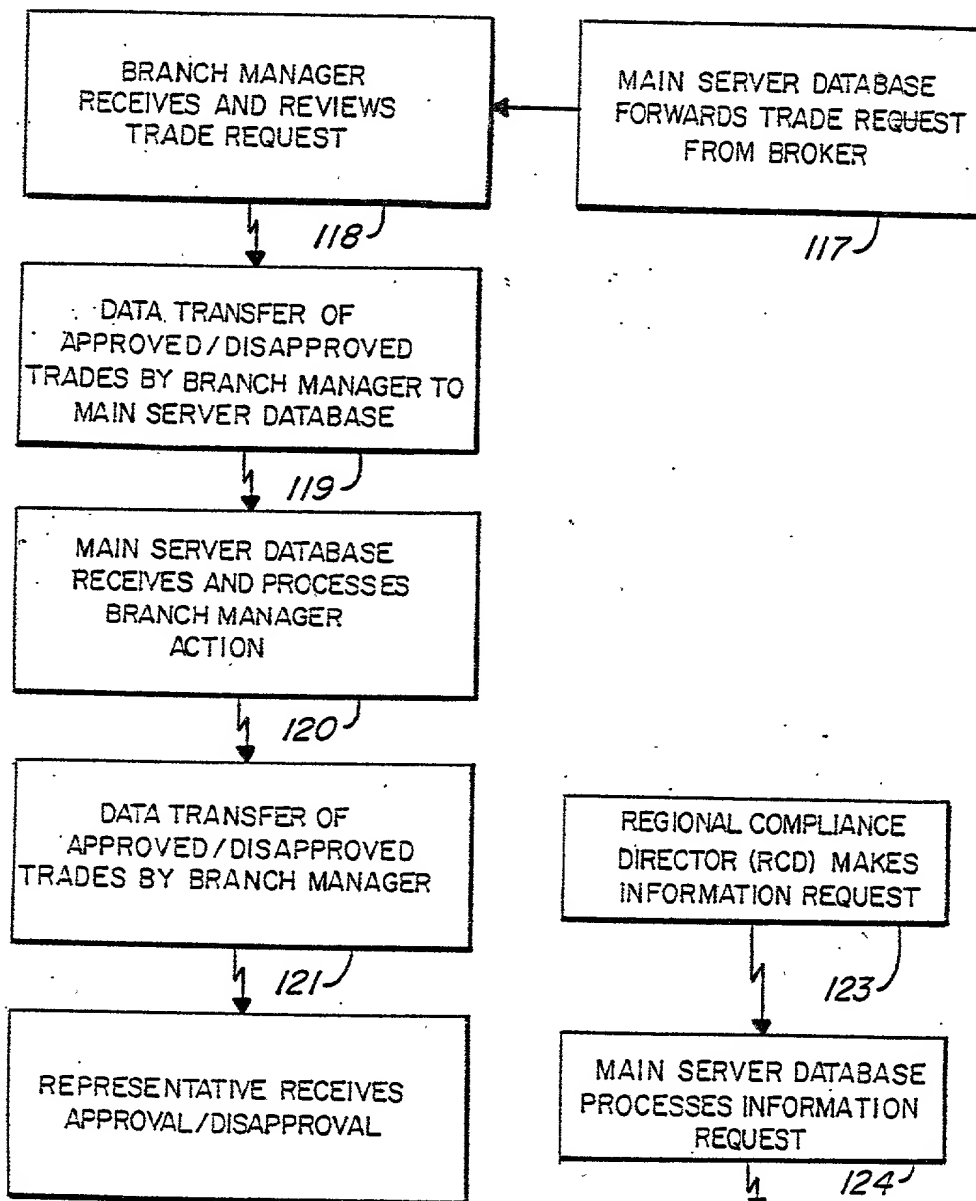


Fig-6



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Fig\_7

Fig\_8

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126

System Information

System Information

Company Name: ACME Supply Company

System ID: 7500

License Number: 110-105-6598

Maintenance Number: 110-105-6598

Install Date: Friday, July 09, 1999, 3:45:11 PM

Expiration Date: Saturday, July 01, 2000, 12:00:00 AM

DEMS Type: LOCAL

Database Path: C:\BROKERBOOKS\DATA\

WEB Server IP Address: 0.0.0.0

WEB Server IP Port: 8555

Branch No:

Preferences

OK Cancel

FIGURE 9

8 of 52

127

EB Trades

Client Info Trade Info Stock & Bond Info Mutual Fund Info Options Info Variables Taylor, John

System ID: 7500 Record ID: 13 Record Last Updated: 12/16/1999 02:34 PM

Activity Date/Time: 06/09/1999 08:32 AM

Rep Name: Curtis, James

Client Name: Taylor, John

Client Account Number: #2

Brokerage Acct No:

FIGURE 1D



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**Trade\*** 1/28

**Client Info:** **Trade Info:** **Stock & Bond Info:** **Mutual Funds:** **Options:** **Variable:** **Taylor: John**

Trade Category: ☒ Stocks & Bonds ☐ Mutual Funds ☐ Options ☐ Variable

Trade Action: ☒ Buy ☐ Sell

Trade Type: ☒ Solicited ☐ Unsolicited ☐ Discretionary ☐ Non-discretionary

Product Name: **Gold Models**

Qty. Traded: **42** **40.0000** **Share/NAV Price** **80.0000** **Executed Price**

Time Received: **06/01/1999 12:00 AM** **Time Proposed** **06/02/1999 12:00 AM** **Settlement Date** **11**

Order Placed With: **Susan** **142** **Order Placed By** **Barry**

Check Amt: **490.00** **Check No.** **9876** **Check Received** **06/02/1999** **Amount Applied** **490.00**

Date Sent: **06/01/1999** **Sent To** **Acorn**

CUSIP No.: **150** **Get Np**

Investment Objectives for this trade (check all that apply):

☐ Long Term Capital Appreciation

☐ Aggressive Growth

☐ Balance Growth with Income

☒ Income

☐ Safety

☐ Speculative/High Risk - High Risk % of Capital

Other: **Branch Approval**

FIGURE 11

108652

The screenshot shows a trading application window titled "Trades". It features a tabbed interface with the following tabs: "Client Info", "Trade Info", "Stock & Bond Info", "Mutual Fund Info", "Option Info", "Variable", and "Taylor, John". The "Trade Info" tab is currently selected. Within this tab, there are several sections:

- Order Type:** Includes radio buttons for Long, Short, Market, Limit, Stop, and Stop Limit.
- Account Type:** Includes radio buttons for Cash, Margin, Short, and DVP.
- Security Location:** A text input field.
- Stop Limit Price:** A text input field.
- Duration:** A dropdown menu.
- And Order Date:** A date input field.
- Commission:** A section with three sub-inputs labeled "RTE", "MLT", and "COMT".

At the bottom of the window is a toolbar with various icons for navigation and execution, including arrows, a magnifying glass, and a "GO" button.

FIGURE 12



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The screenshot shows a software window titled "My Trader". At the top, there is a horizontal menu bar with the following tabs: "Client Info", "Trade Info", "Stocks/Bond Info", "Mutual Fund Info", "Options Info", "Account Info", and "Taylor John". The "Mutual Fund Info" tab is currently selected. Below the tabs, the main area displays the following information:

- Mutual Fund/Account No.
- LOI
- ROA

Below the input fields, there is a large, dark, textured rectangular area. To the right of this area, there is a vertical toolbar with several icons. A label "1577" is positioned to the right of the "Mutual Fund/Account No." field.

FIGURE 13

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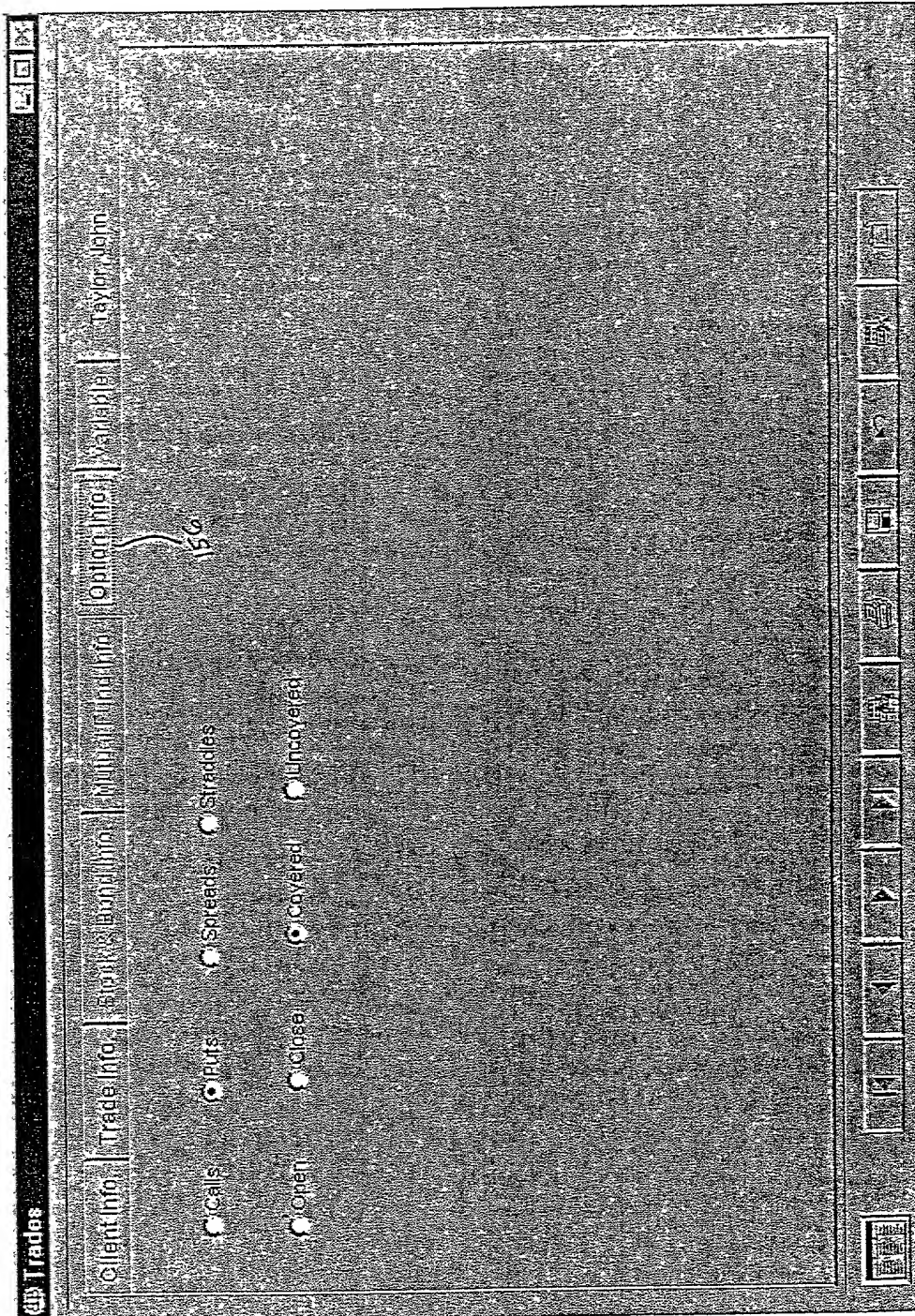


FIGURE 14



13 0452

EP Trades

Client Info Trade Info Stocks & Bonds Info Financial Info Options Info Variable Taylor John

Variable: ☐ Life ☒ Apply

Face Amount 588

Mortgage Premium 1,230

Lump Sum 158

Loss/Exchange 1035

Loss/Approximate Amount 1035

FIGURE 15



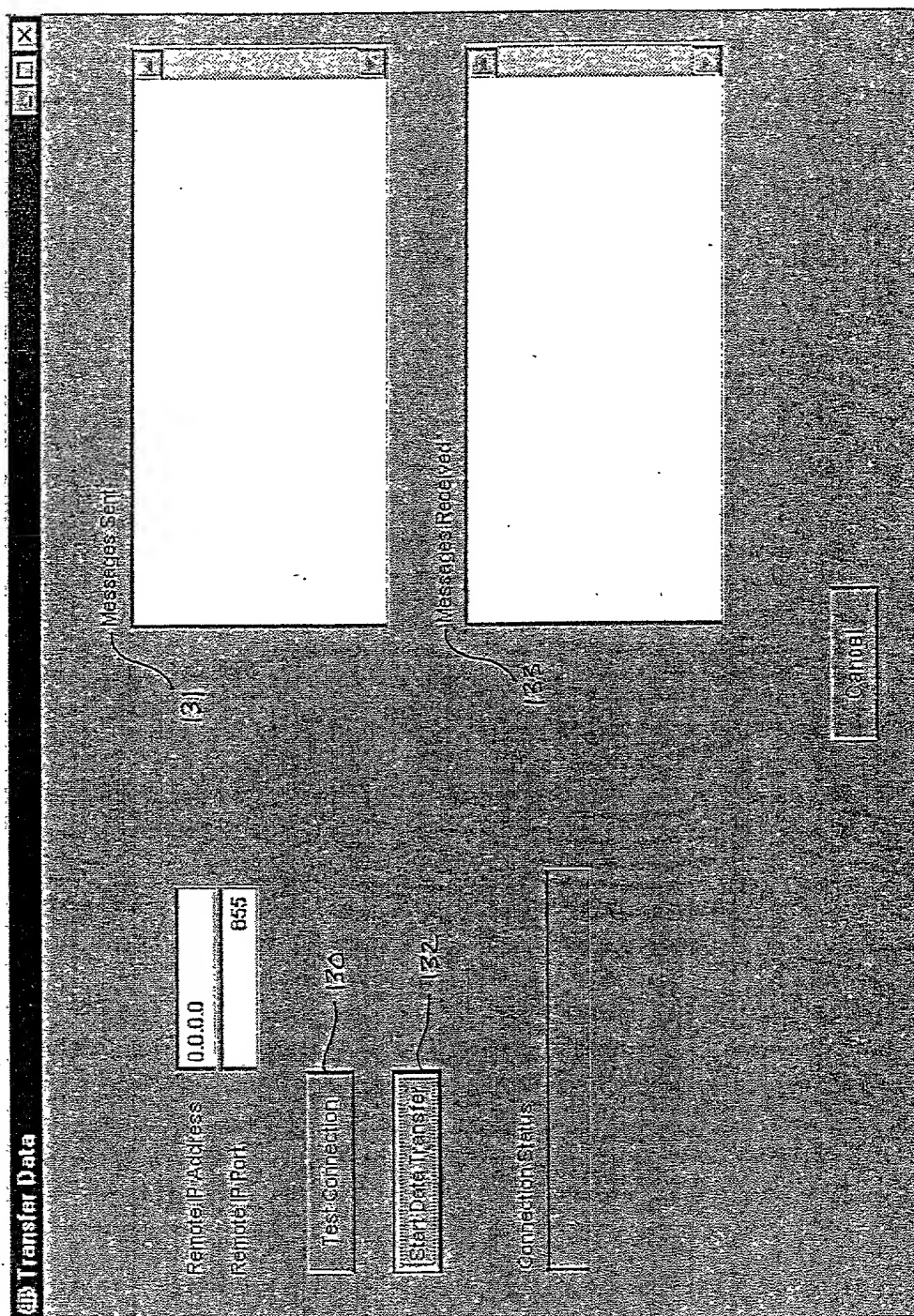


FIGURE 16

FIGURE 17.

168 Daily Trade Blotter

2/28/99 0948 A.M.

Date	Client Name	Account Number	Buy/Sell	Qty Traded	Product	Price	Exeo Price	\$ Amt.	Rep No.	Initials
2/28/99	Smith, Jane	#7	Buy	760.0000	Gold Models	860.0000	0.0000	0.00	4000	
2/28/99	Doa, John	#5	Buy	0.0000	Caesar Marketing	0.0000	0.0000	0.00	2000	
2/28/99	Taylor, John	#1	Sell	0.0000	MGM Grand Hotel	0.0000	0.0000	0.00	9000	
2/28/99	Taylor, John	#2	Buy	0.0000	Deluxe Travel Systems	0.0000	0.0000	5,000.00	4000	
2/28/99	Taylor, John	#2	Buy	0.0000	Caesar Marketing	0.0000	0.0000	0.00	4000	
2/28/99	Doa, John	#5	Buy	0.0000	Deluxe Travel Systems	0.0000	0.0000	2,600.00	4000	
2/28/99	Taylor, John	#2	Buy	60.0000	Deluxe Travel Systems	600.0000	0.0000	0.00	2000	
2/28/99	Smith, Jane	#7	Buy	60.0000	MGM Grand Hotel	12.0000	0.0000	0.00	9000	
2/28/99	Smith, Jane	#7	Buy	6.0000	MGM Grand Hotel	40.0000	0.0000	4,500.00	4000	
2/28/99	Taylor, John	#2	Sell	40.0000	Gold Models	80.0000	0.0000	400.00	4000	
2/28/99	Smith, Jane	#7	Buy	0.0000	Caesar Marketing	0.0000	0.0000	0.00	9000	

FIGURE 18

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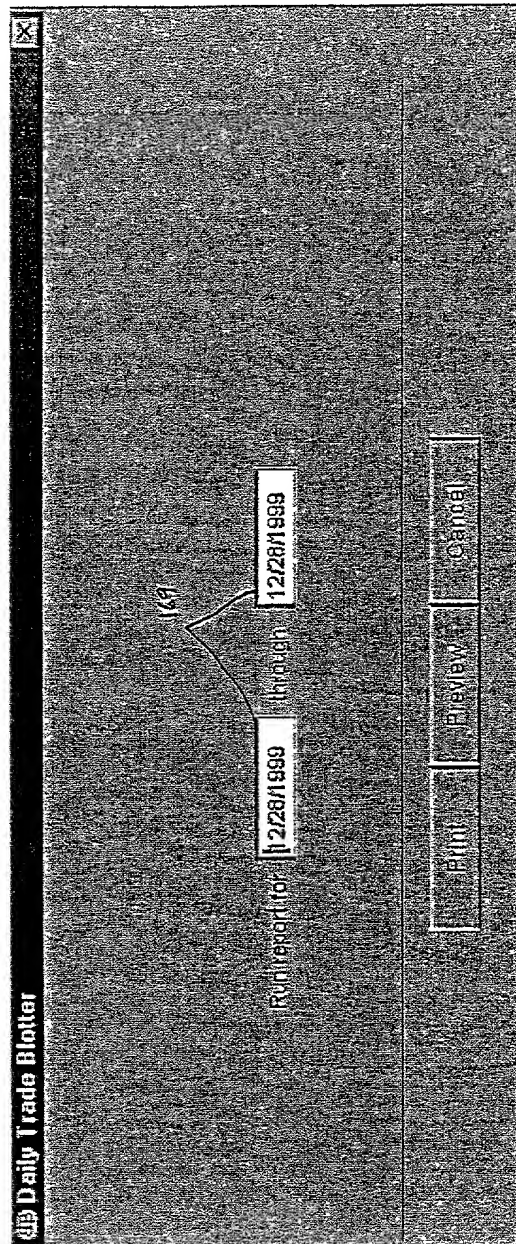


FIGURE 19

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170 → Checks/Securities Received Blotter

08/03/1999 03:49 AM

Ck Rec'd	Name	Description	Check No.	/ CUSIP No.	Qty	Sent To	Date Sent	Rep No.	Initials
08/02/1999	Taylor, John	Deluxe Travel Systems	2345	/	0.0000	John Doe	08/02/1999	4000	
08/01/1999	Smith, Jane	McM Grand Hotel	5657	/ 4778	8.0000	May Scott	08/02/1999	4000	
08/01/1999	Doe, John	Deluxe Travel Systems	8067	/	0.0000	Roberts Ltd.	08/02/1999	4000	
08/02/1999	Taylor, John	Gold Models	9979	/	40.0000	Acorn	08/01/1999	4000	

FIGURE 20



8/03/1999 09:51 AM

172 → BUY & SELL TICKET

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Buy/Sell Buy	Short/Long Long	Day/Open/Market Market	Activity date 05/03/1999 09:31 AM	Settlement date 11
Quantity 750.0000	Symbol GMB	Limit amount 0.00	Execute price 0.0000	Security location
Securities Description Gold Models				
Client name Smith, Jane				Account # #7
Payment type Cash				
Rep # 4000		Brokeracct		Solicited Unsolicited
Time Received from client 04/29/1999 09:00 AM			Time phoned 04/30/1999 12:00 AM	
Order Placed with Jane			by Mary	
Commission RTE 0.00 MLT 0.00 COM 0.00				

Options

Calls/Puts/Spreads/Straddles	Calls
Open/Close/Covered/Uncovered	Open

Mutual Funds

Acct# 5634	LCI 0	RCA 0
------------	-------	-------

FIGURE 21

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03/03/1999 10:04 AM

17. → Client Activity Log

Name Coe, John		Company Name					
Address 35773 Mulberry Lane  Walnut Grove, IL 47738		Joint Account Name Pye, Gloria					
Home Phone 614-388-3773		Business Phone					

Product	Account Type	Date	Bought		Sold		
			Qty	Price	Qty	Price	
Cancer Marketing	Trust	03/03/1999					
Dance Travel Systems	Trust	05/02/1999					

FIGURE 22

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02/03/1999 10:03 AM

176 Security Activity Log

Security Name Gold Models

Client Name	Qty Traded	Activity Date	Price
Taylor, John	40.0000	06/09/1999 08:32 AM	80.0000
Smith, Jane	750.0000	05/03/1999 09:31 AM	860.0000

FIGURE 23



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**Client Profile**

Creation Date: 05/03/1999  
 Last Name: Doe  
 First Name: John  
 Middle Name: [Blank]  
 Date of Birth: 11/22/1970  
 Sex: [Blank]  
 Social Security No.: 466-36-2286  
 Address 1: 85776 Mulberry Lane  
 Address 2: [Blank]  
 Address 3: [Blank]  
 City: Walnut Grove  
 State: IL  
 Zip Code: 47788-  
 Home Phone: 614-988-3775  
 Annual Income: 130,000  
 Brokerage No.: [Blank]  
 Joint Last Name: Pyle  
 Joint First Name: Glenda  
 Joint Middle Name: [Blank]  
 Joint Social Security No.: 84-6657767  
 Joint Date of Birth: 11/22/1970  
 Joint Sex: [Blank]  
 Joint Address 1: [Blank]  
 Joint Address 2: [Blank]  
 Joint Address 3: [Blank]  
 Joint City: [Blank]  
 Joint State: [Blank]  
 Joint Zip Code: [Blank]  
 Joint Home Phone: [Blank]  
 Joint Annual Income: [Blank]  
 Joint Brokerage No.: [Blank]  
 Investment Objectives (Check all that apply):  
☐ Long Term Capital Appreciation  
☐ Aggressive Growth  
☒ Balance Growth with Income  
☒ Income  
☒ Safety  
☐ Speculative/High Risk  
☐ Other: [Blank]  
 Right of Phone: [Blank]  
 Right of Menu: [Blank]  
 Account Number: [Blank]  
 Account Type: [Blank]  
 Joint Tenants in Common  
 Trust  
 UOMA - Gift

FIGURE 24

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**Representative Profile**

Rep ID: 4000  
 Last Name: Curtis  
 Address 1: 91 Dogwood Drive  
 Address 2:  
 Address 3:  
 City: Leadville  
 County:  
 Work Phone: 303-958-2219  
 E-mail Address: scurtis@aol.com  
 Office Name: Pine Branch  
 Branch Office:  
 Post Office:  
☐ Series 6  
☐ Series 7  
☐ Series 24  
☐ Series 26  
☒ Series 63  
☐ Series 65  
☐ Insurance

☒ Registered Investment Advisor

First Name: James  
 Middle Name:  
 State: CO  
 Zip Code: 81123  
 Home Phone: 303-775-8842  
 Office E-mail:  
 Fax Number: 200

Enter additional license information:  
☐ Series 63  
☐ Series 65  
☐ Insurance

FIGURE 25

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208

Users

User ID	210
User First Name	212
User Middle Name	214
User Last Name	216
User Level	218
Password	220

administrator  
Barry  
Taylor  
User  
shadow

FIGURE 26

210

BrokerBooks Trade Audit Report

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System ID.	Record ID.	User ID.	Password	Change Date/Time
1000	1	JohnB	Books	06/16/1999 12:01:49

Changes:

Old: Product Name: Best Funds  
New: Product Name: Enterprise Funds

System ID.	Record ID.	User ID.	Password	Change Date/Time
1000	1	JohnB	Books	06/17/1999 11:41:35

Changes:

Old: Share/NAV Price: \$ 100.00  
New: Share/NAV Price: \$ 110.00

System ID.	Record ID.	User ID.	Password	Change Date/Time
2430	13843	JackCL	PASS	06/16/1999 12:01:49

Changes:

Old: Qty. Traded: 150  
New: Qty. Traded: 250

System ID.	Record ID.	User ID.	Password	Change Date/Time
45330	84453	10256	ABCFGH	06/16/1999 2:10:33

Changes:

Old: Stop Limit Price: 130  
New: Stop Limit Price: 165

FIGURE 23

0053986.06001



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211

The screenshot shows a window titled "Audit Report" with a standard Windows-style title bar (minimize, maximize, close buttons). The window contains three input fields arranged vertically. The first field is labeled "Rep Name" and contains the text "Smith, Kyle". The second field is labeled "Run report for" and contains the date "12/28/1999". The third field is labeled "Specific Branch" and contains the number "001". To the right of these fields are three buttons: "Print", "Preview", and "Cancel". A small icon of a document with a magnifying glass is located in the top-left corner of the window's content area.

Rep Name	Smith, Kyle
Run report for	12/28/1999
Specific Branch	001

Print Preview Cancel

FIGURE 28

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212 → LOGIN REPORT

LOGINTIME	SYSTEM ID	USER ID	PASSWORD	SUCCESS
05/03/1999 09:28:00	1000	administrator	password	Yes
05/03/1999 09:43:36	1003	administrator	shadow	Yes
05/03/1999 09:44:54	1002	administrator	password	No
05/03/1999 09:46:46	1002	administrator	hazel	Yes
05/03/1999 09:46:53	1002	administrator	password	Yes
05/03/1999 09:48:34	1001	administrator	gocart	No
05/03/1999 09:49:44	1001	administrator	holly	Yes
05/03/1999 09:50:15	1003	administrator	shadow	No
05/03/1999 09:50:52	1000	administrator	password	Yes
05/03/1999 09:51:48	1002	administrator	password	Yes
05/03/1999 10:00:32	1000	administrator	houston	Yes
05/03/1999 10:36:37	1000	administrator	password	Yes
05/03/1999 10:37:03	1000	administrator	password	Yes
05/03/1999 10:39:00	1000	administrator	password	No
05/03/1999 10:39:16	1000	administrator	houseton	Yes
05/03/1999 10:55:07	1000	administrator	houston	Yes
05/03/1999 10:55:20	1000	administrator	password	Yes
05/03/1999 10:55:47	1000	administrator	orange	Yes
05/03/1999 10:56:06	1000	administrator	password	Yes
05/03/1999 10:56:40	1000	administrator	password	No
05/03/1999 10:56:55	1000	administrator	password	Yes
05/03/1999 11:07:44	1001	administrator	holly	Yes
05/03/1999 11:08:05	1001	administrator	password	Yes
05/03/1999 11:12:47	1001	administrator	notebook	No
05/03/1999 11:14:43	1002	administrator	password	Yes
05/03/1999 11:15:15	1002	administrator	password	No
05/03/1999 11:15:54	1000	administrator	password	Yes
05/03/1999 11:19:05	1001	administrator	nottebook	No
05/03/1999 11:19:23	1001	administrator	notebook	Yes
05/03/1999 11:20:14	1001	administrator	password	Yes
06/15/1999 09:25:22	1841	administrator	password	No
06/15/1999 09:26:38	1841	administrator	shopping	Yes
06/15/1999 09:29:30	1841	administrator	password	No
06/15/1999 09:55:04	1841	administrator	mountains	Yes
06/15/1999 10:07:59	1841	administrator	password	No
06/15/1999 10:45:09	1000	manager1	password	No
06/15/1999 11:05:44	1000	manager1	password	Yes

FIGURE 29

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213

**Logins Report**

Rep Name:

Run report for:  through

Specific Branch:

FIGURE 30

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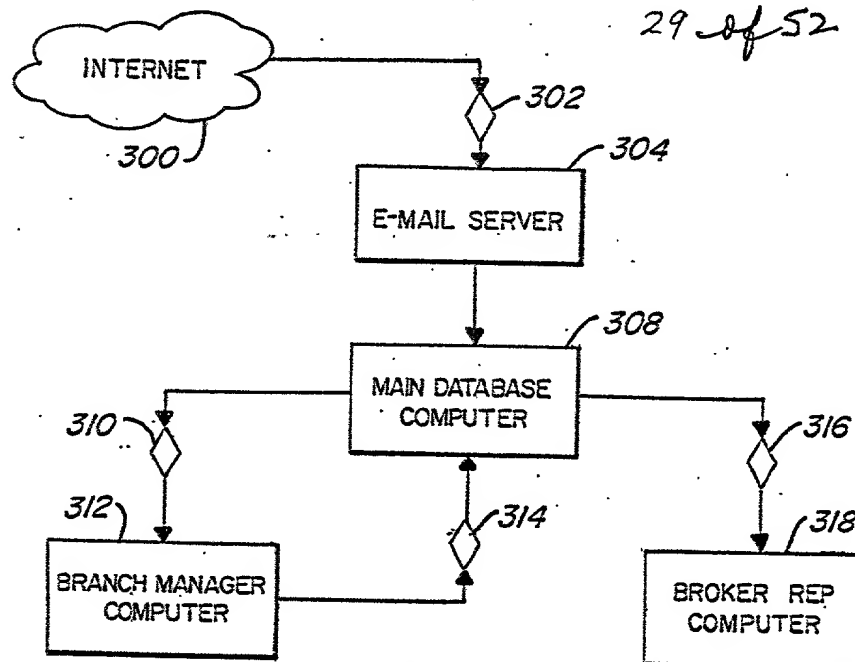


Fig. 31

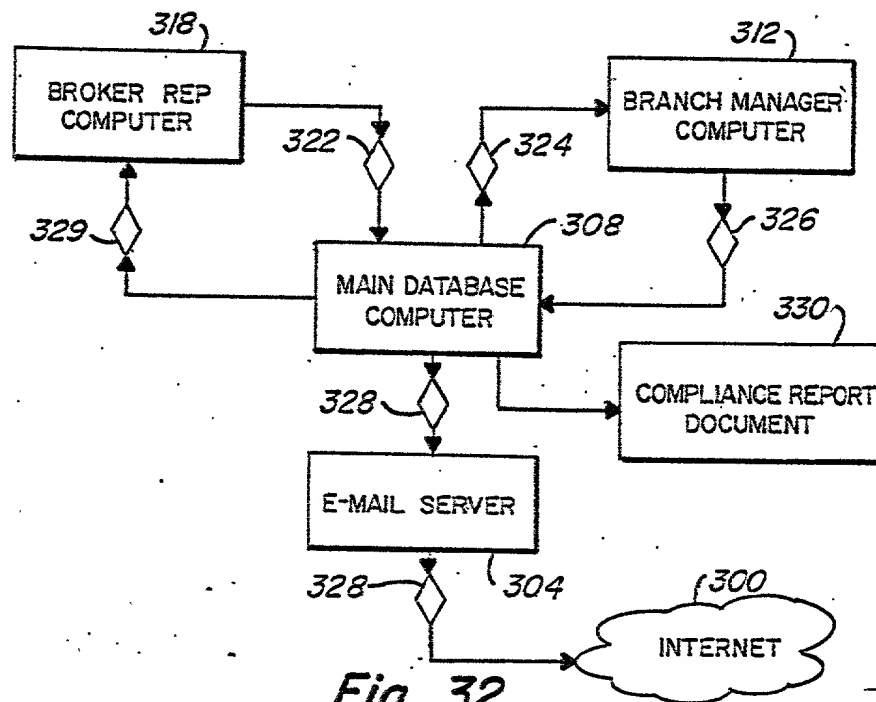


Fig. 32

FIG. 31



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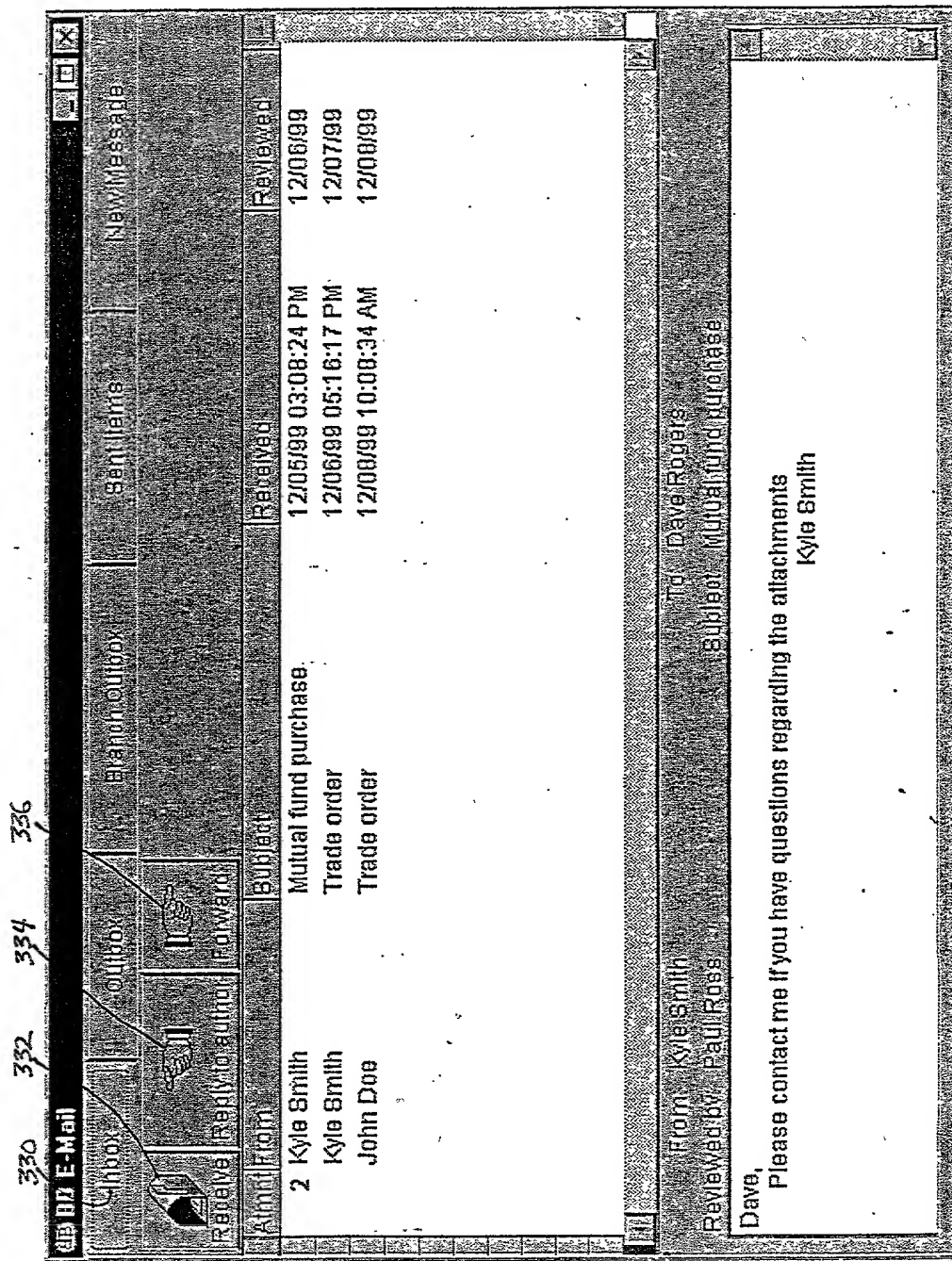


FIGURE 33

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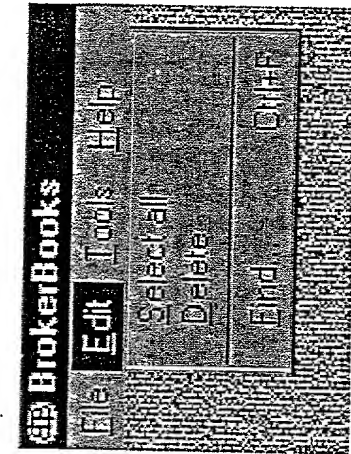


FIGURE 35

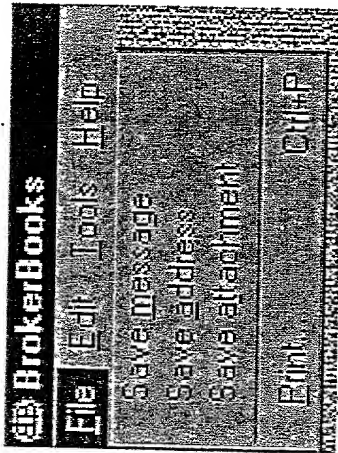


FIGURE 34

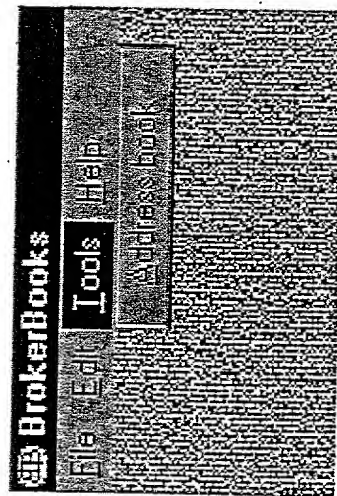


FIGURE 36

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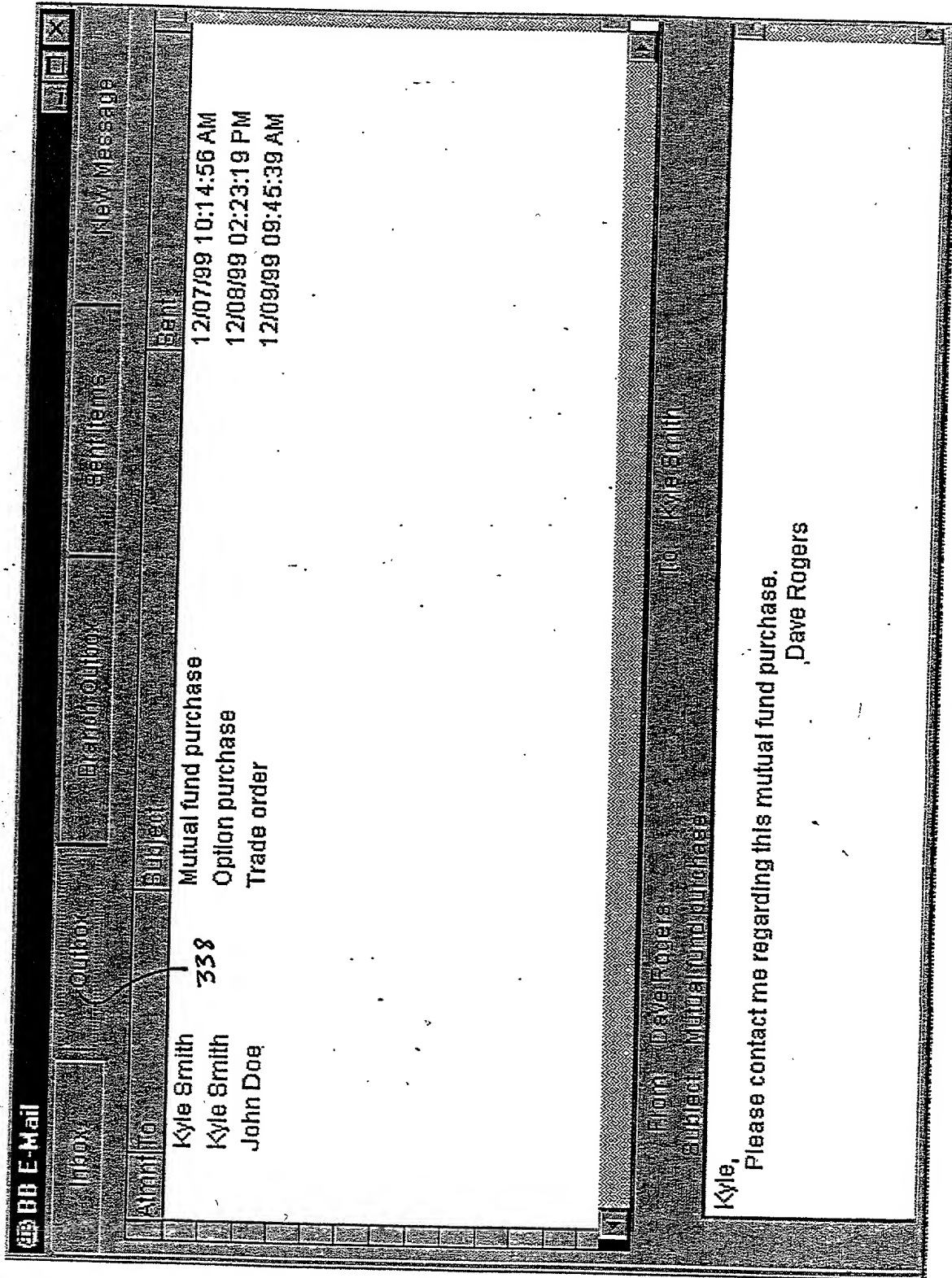


FIGURE 37

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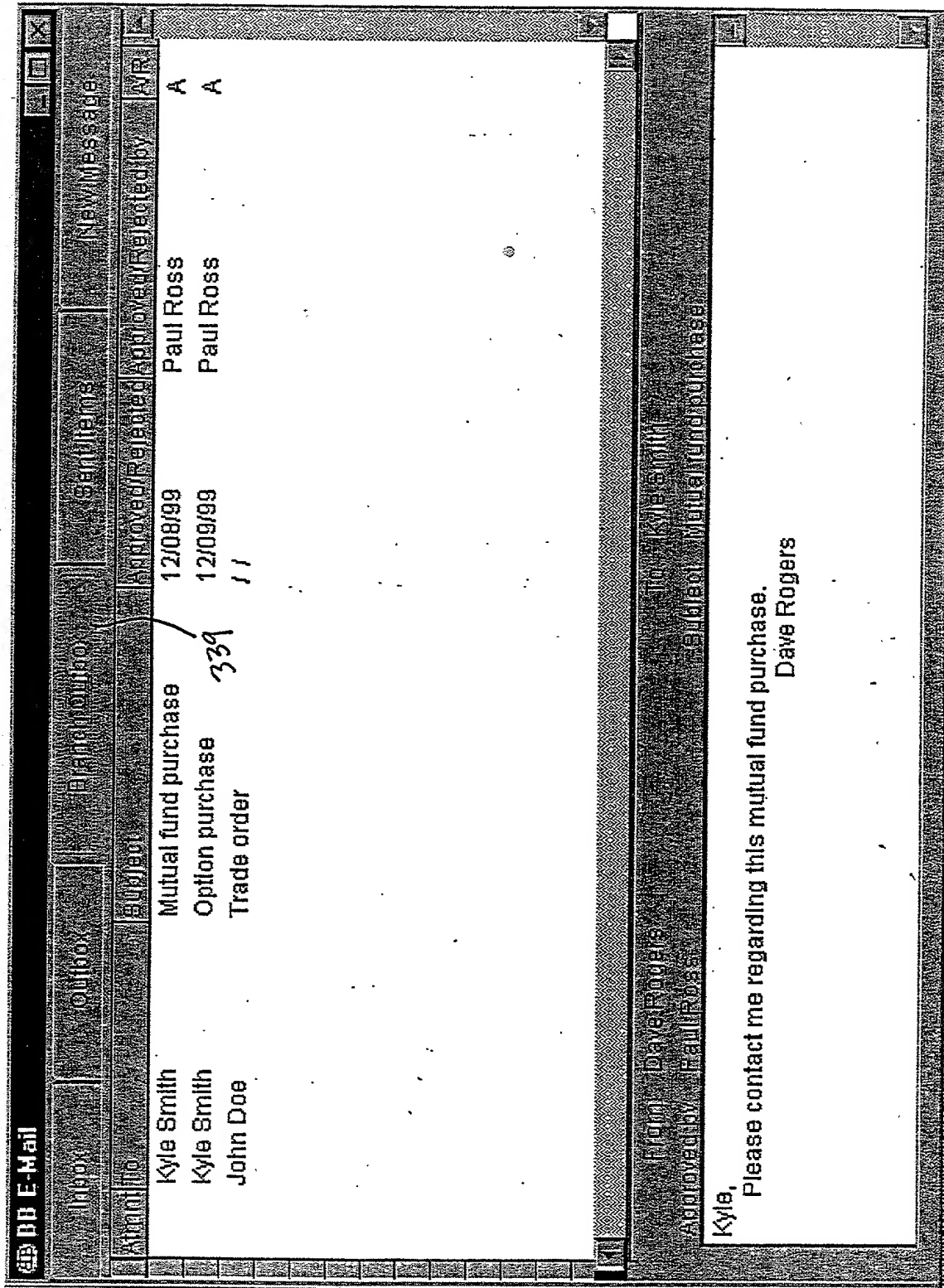


FIGURE 38

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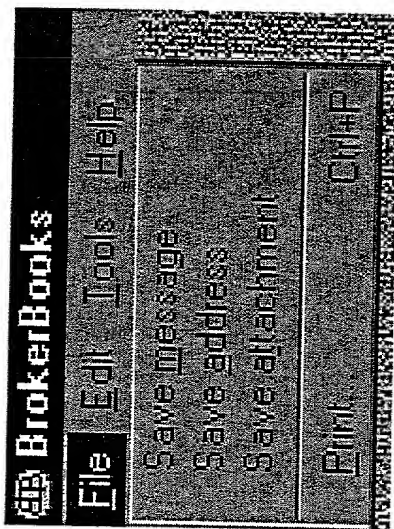


FIGURE 39

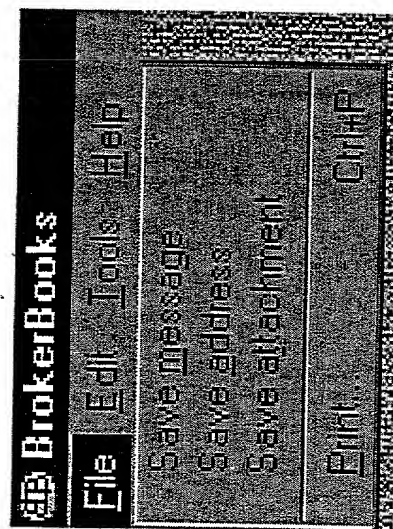


FIGURE 42

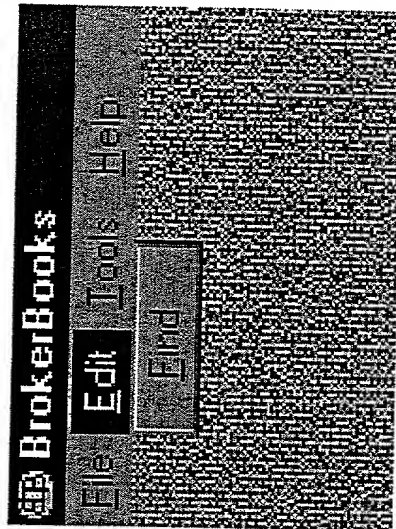


FIGURE 40

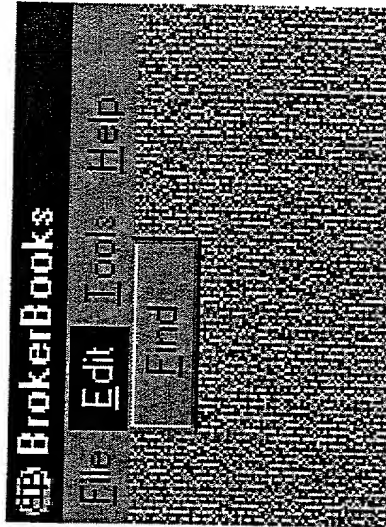


FIGURE 43



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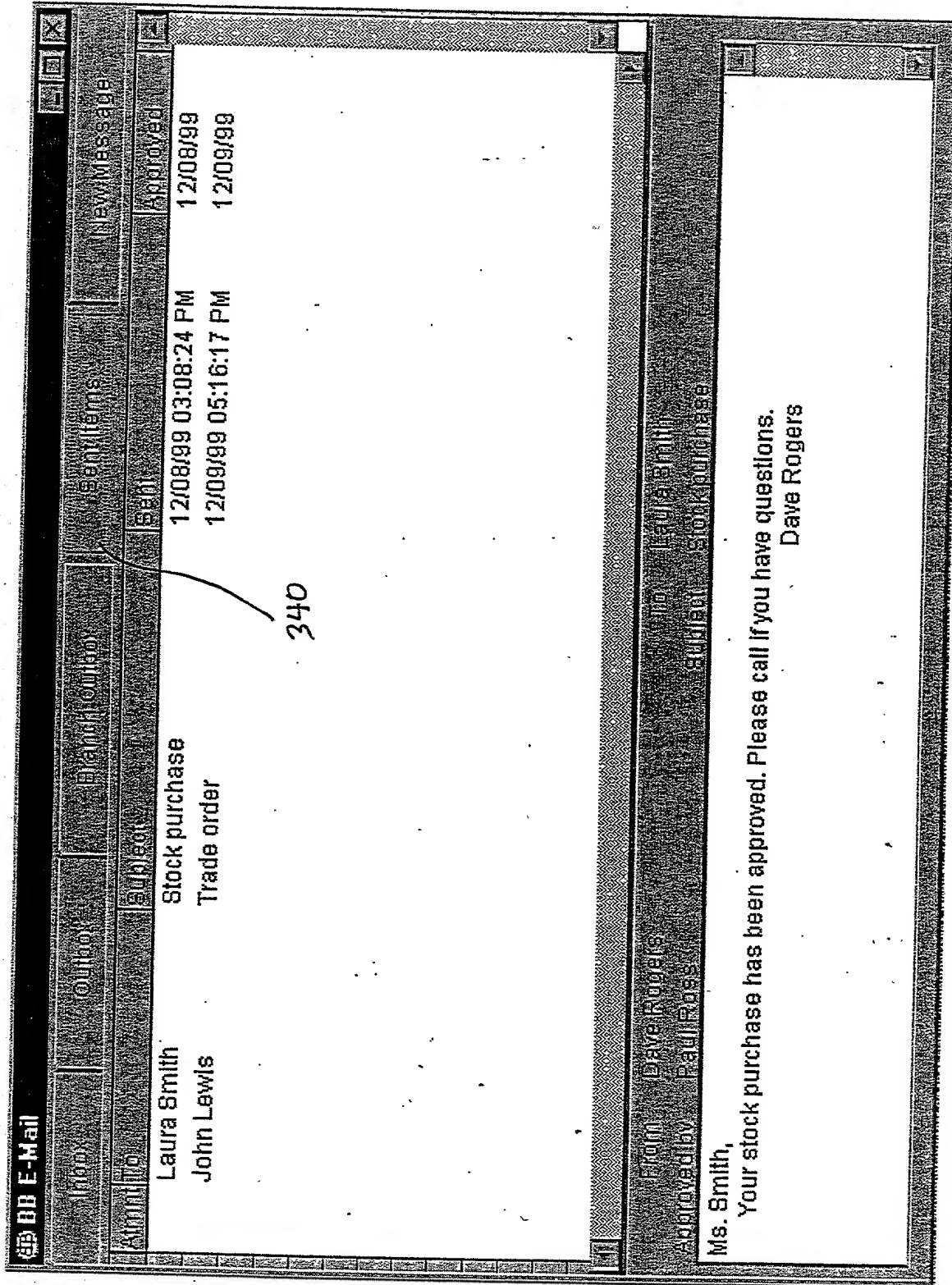


FIGURE 41

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FIGURE 44

FO9080" 985E5260

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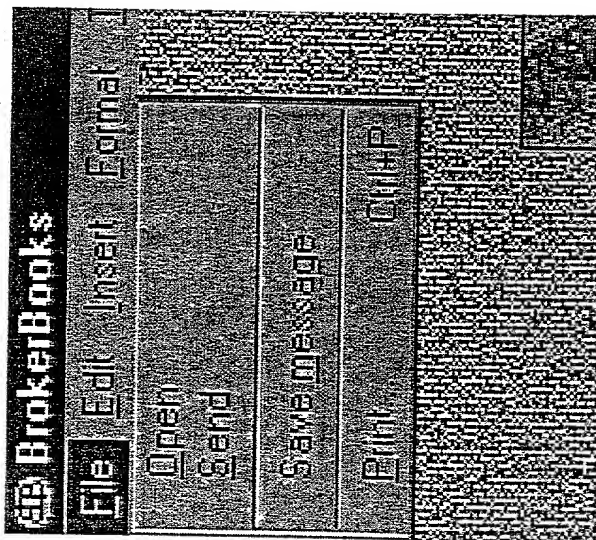


FIGURE 45

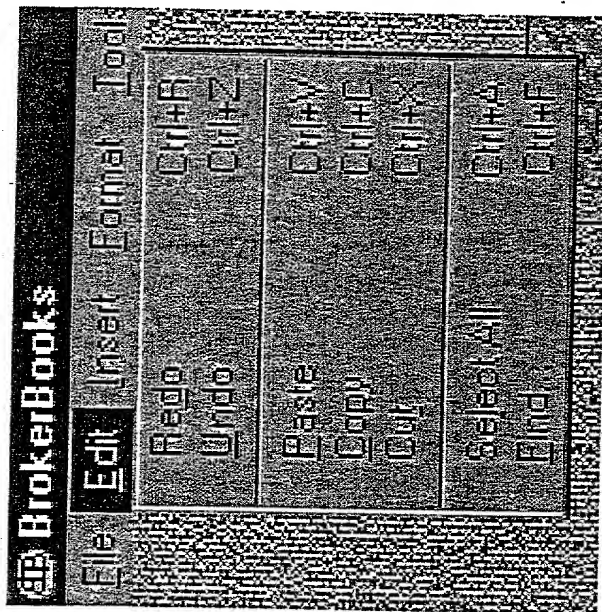


FIGURE 46

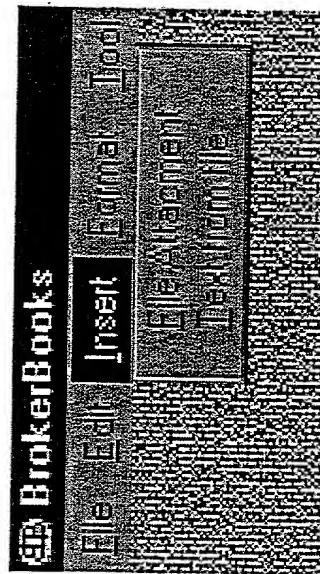


FIGURE 47



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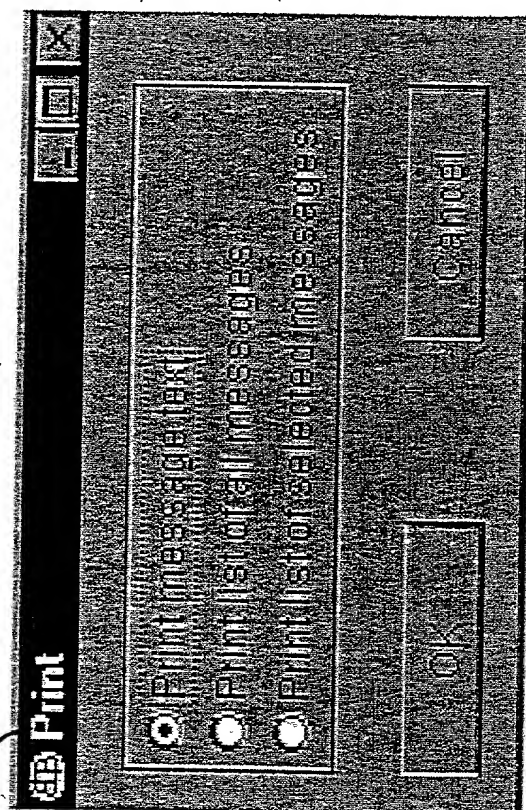


FIGURE 48

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FIGURE 49



**FIGURE 50**

FO9080" 9865860

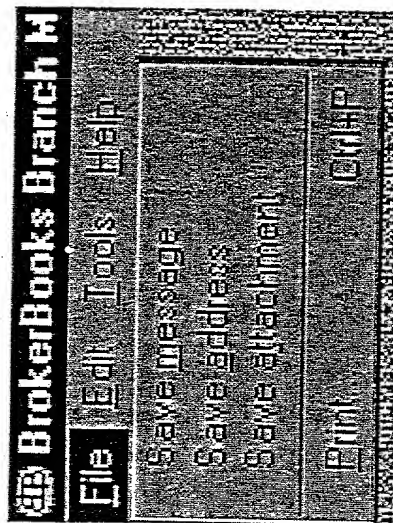


FIGURE 51

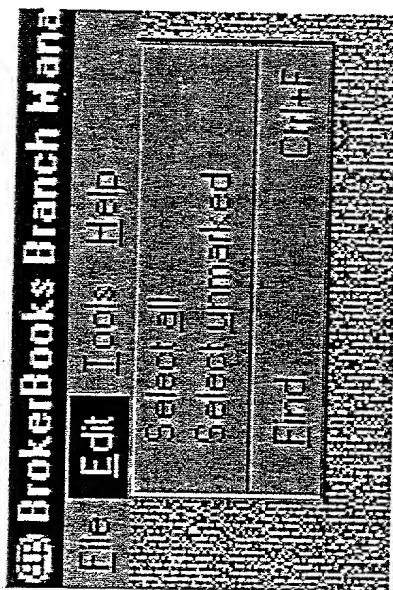


FIGURE 52



FIGURE 53

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FIGURE 54



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FIGURE 55

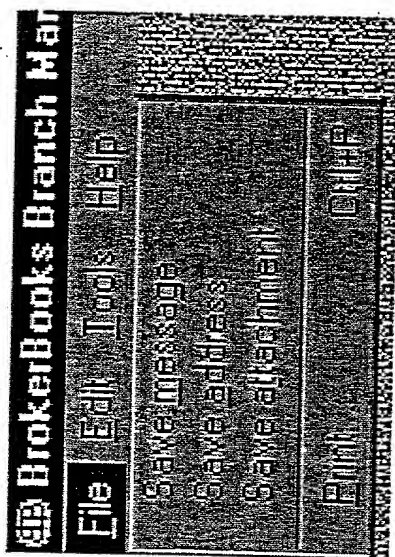


FIGURE 56

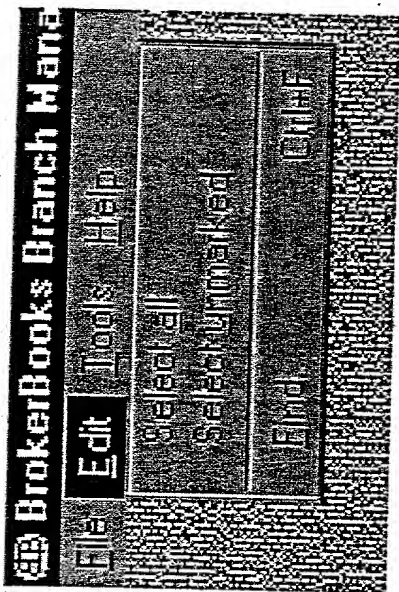


FIGURE 57

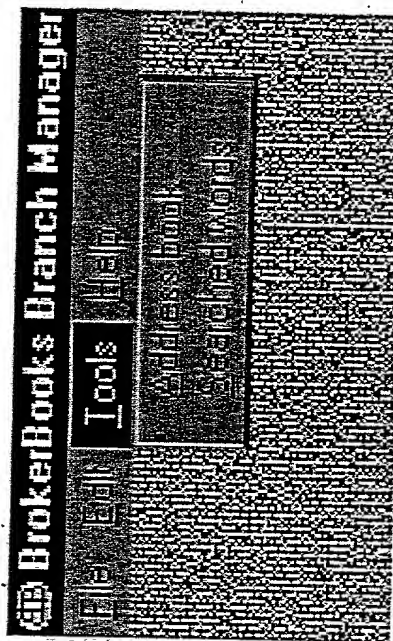


FIGURE 58

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EP BB E-Mail

Inbox


Outbox


Sent Items


New Message


Check incoming messages

Check outgoing messages

 Send

 Attach

 Find Address

 Approve

362

363

To

From

Cc

Bcc

Subject

Mary Smith

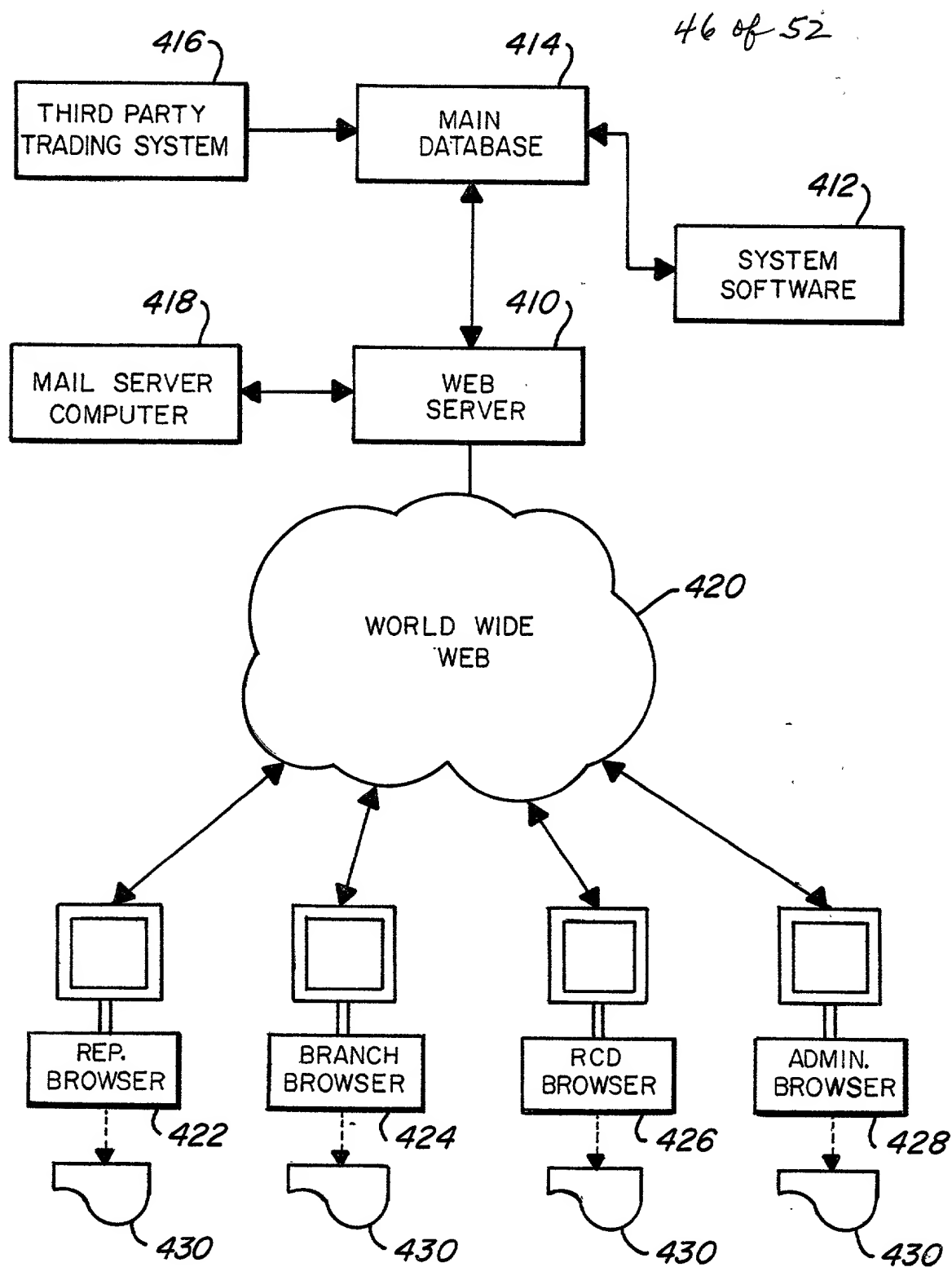
Trade order

Ms. Smith,

Please contact me regarding the last trades.

Paul Ross

FIGURE 59



**Fig-60**

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Please enter your User ID and Password.

User ID:

Password:

Home | Register | F.A.Q.

Figure 61

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HOME START TRANSACTIONS PROFILES DEPOSITS BLOTTERS F.A.Q. LOG OFF

Quick Start for Reps 432 454 456 You have 15 declined transactions

BrokerBooks Help

Transactions: Messages:

Stock Browse Transactions 440

Bond

Option

Mutual Fund

Variable

Profiles:

Client Profile - Individual Browse Client Profiles 442

Client Profile - Corporate

Client Profile - Trust

Client Profile - UTA/UGMA 444

Representative Profile Browse Rep Profiles 446

Product Name Browse Products

Account Type Browse Accounts 448

User Profile Browse User Profiles 450

Trade Blotters:

Daily Trade Blotter

Checks/Securities Blotter 452

Buy & Sell Tickets

Client Activity Log

Security Activity Log

Figure 62

49 of 52

HOME | START | TRANSACTIONS | PROFILES | DEPOSITS | BLOTTERS | F.A.Q. | LOG OFF

1 - 8 of 329 records  
You have 15 declined transactions.  
To sort click on column header

Client Name	Client Account Number	Transaction Date/Time	Rep. Name	Transaction Option	Product	Status	
LaFore, David W.	100	02/04/2123 01:12 pm	Brennan, Kyle	Stocks	International Bead Makers	Appr.	View/Edit
Adrian, Sharon		03/30/2002 12:00 pm	Brennan, Kyle	Mutual Funds	Mutual Fund MX1	Pend.	View/Edit
Abbott, Jake		03/30/2001 03:50 pm	McConnell, Steve	Mutual Funds	Mutual Fund MX1	Pend.	View/Edit
Abbott, Jake		03/30/2001 12:00 pm	McConnell, Steve	Mutual Funds	Mutual Fund MX1	Pend.	View/Edit
Abbott, Jake		03/30/2001 12:00 pm	McConnell, Steve	Mutual Funds	Mutual Fund MX1	Pend.	View/Edit
Adrian, Sharon		03/30/2001 12:00 pm	Brennan, Kyle	Mutual Funds	Mutual Fund MX1	Pend.	View/Edit
Greene, Ken	2	03/28/2001 12:00 pm	Brennan, Kyle	Mutual Funds	Mutual Fund MX1	Pend.	View/Edit
Greene, Ken	2	03/28/2001 12:00 pm	Brennan, Kyle	Mutual Funds	Mutual Fund MX1	Pend.	View/Edit

Page 1 2 3 4 5 6 7 8 9 10 11 12 13 14 15 16 17 18 19 20 21 22 23 24 25 26 27 28 29 30 31 32 33 34 35 36 37 38 39 40 41 42

☐ Approved Only
 ☐ Declined Only
 ☐ Pending Only
 ☒ All

Search by: ☒ Client Name ☐ Product Name

String for search:

Date from:  /  /

Date through:  /  /

HOME | START | TRANSACTIONS | PROFILES | DEPOSITS | BLOTTERS | F.A.Q. | HELP | LOG OFF | CONTACT US

Figure 63

508452

470

1 - 8 of 88 records  
To sort click on column header

472

Client Name	Client Type	Creation Date	
Aardith, Michael	Individual	11/07/2000	Edit/Delete
Abbott, Jake	Individual	10/09/2000	Edit/Delete
Acme Corp.	Corporate	06/29/2000	Edit/Delete
Adams, Joe	UTA/UGMA	06/29/2000	Edit/Delete
Adrian, Sharon	Individual	11/01/2000	Edit/Delete
Adrian, Sharon	Individual	11/01/2000	Edit/Delete
Ammon, Christopher P.	Individual	09/28/2000	Edit/Delete
Anderson, Jane	UTA/UGMA	06/27/2000	Edit/Delete

Page 1 2 3 4 5 6 7 8 9 10 11

Top Previous Next Bottom New Client

Search by Client Name All Records

String for search: Search

474 Select Different Profile 476

Home Start Transactions Profiles Deposits Blotters F.A.Q. Help Log Off Contact Us

Figure 64



510452

HOME? START? TRANSACTIONS? PROFILES? DEPOSITS? **BLOTTERS** F.A.Q. LOG-OFF

Select Different Blotter 486

Daily Trade Blotter

beginning transaction date in format MM/DD/YYYY ending transaction date in format MM/DD/YYYY

Run report for 478 / - / - through 485 / - / -

Print View Reset 484

To return to this page from the report click the "Cancel" or "Back" button on the report page

Home Start Transactions Profiles Deposits Blotters F.A.Q. Help Log Off Contact Us

Figure 65

52 of 52

HOME START TRANSACTIONS **PROFILES** DEPOSITS BLOTTERS F.A.Q. LOG OFF

### USER PROFILE

[Browse User Profiles](#) [New User Profile](#) [Select Different Profile](#)

Fields marked with \* must be filled in:

User ID:

Password:

Re-enter Password to confirm:

Last Name:

First Name:

Middle Name:

User Level (check all that apply):

☐ Branch Manager

☐ Representative

☐ New Branch

☐ New Rep

Select Branches (To select more than one Branch use Ctrl or Shift buttons):

Select a Branch:

Select Representatives (To select more than one Rep. use Ctrl or Shift buttons):

Select by Rep. ID:

Select by Rep. Name:

User Access Rights (check all that apply):

☐ Rep Profile Updates

☐ Product Types Updates

☐ Account Types Updates

☐ User Profile Updates

☐ Update Stocks, Bonds and Options product only

☐ Update all product types (including Mutual Funds and Variables)

Figure 66